

	site, that does not meet the criteria for a "minor relocation" as defined in Appendix III in these instructions.											
7. Space Expansion	Adding space to a certified site	X		X		X						
8. Additional Location	An existing OASAS-certified provider opening an additional location that is dependent on and subordinate to a site that provides certified outpatient treatment services. The additional location must be contiguous to the main site.	X		X	X	X			X			
9. Merger	Merge between existing OASAS-certified providers. If services, budget and staffing remain the same, omit Parts III, IV and V and include a statement to that effect.	X			X	X	X					
10. Transfer of Ownership	Transfer ownership of existing certified treatment services to another existing OASAS-certified provider of certified services.	X			X	X	X					
11. Capital Project	Approval to make a capital investment in a facility where certified treatment services are (or will be) provided.	X		X								
12. Change in Ownership	Approval for an existing OASAS provider of certified services to change its ownership by: a transfer, assignment or other disposition of 10% or more of the stock, voting rights or membership interest in a business corporation or limited liability company, as appropriate, or a transfer, assignment or other disposition of stock, voting rights or membership interest in a business corporation or limited liability company, as appropriate, that results in a change in the ownership of more than 10% of the stock, voting rights or membership interest, or a change in the principals involved in the ownership of an individual proprietorship, partnership or limited liability partnership.	X	X					X			X	X

* If the proposed relocation affects the current operating budget or capacity, the applicant **must** include Part IV Resource Allocation with the application. If the proposed relocation does not affect the current operating budget or capacity, the applicant should attach a statement to that effect.

Application Process

The first step in the application process is for prospective applicants to contact the Local Governmental Unit (LGU) and the [OASAS Regional Office](#) (RO) in the jurisdiction where services are to be offered to arrange for a discussion of the conceptual basis for the application and its relationship to the service needs expressed in the LGU's Local Services Plan. These discussions are required and prospective applicants must complete the Certification Proposal – Prior Consult Form.

(Attachment 1A) and submit it with the application submission. At the conclusion of these discussions, the RO and LGU will render a recommendation on the applicant's proposal.

The only actions that do not require a Certification Proposal Prior Consult Form - Attachment #1A are:

- **Minor Relocations;**
- **Add a Supportive Living Site (PPD-11); and,**
- **Changes to Prevention Sites (PPD-14).**

The instructions have been developed to assist applicants in the completion of the application. Applicants are strongly encouraged to read the instructions before completing the application. The instructions:

- explain the various parts of the application;
- identify the specific parts of the application to be completed based on the action(s) being pursued by the applicant;
- describe the appropriate response requirements for each item of information requested;
- describe the various items of documentation to be submitted as Attachments; and
- eliminate delays in the review process that result from incorrect, incomplete, or unclear responses.

OASAS requires the applicant to submit applications through the New York State Electronic Certificate of Need (NYSE-CON) system using an Health Commerce System (HCS) or NY.gov account. Instructions for this can be found on the [OASAS Program Certification webpage](#).

Minor Relocations

OASAS has implemented an expedited process for certain relocation applications. If the proposed relocation meets the following criteria, it is considered to be a "Minor Relocation":

1. The request must not result in an increase in State Aid.
2. The request must be approved by the LGU (if applicable) and the OASAS Regional Office.
3. The site proposed for the relocation must be in the same county or sub-county area, or in New York City, the same Community Board

area, as the current site.

4. The provider must agree to treat the same target population at the proposed site.
5. The request must not propose an increase in capacity.
6. The request does not involve any type of construction and/or renovations to the new site.
7. The request must not propose services that are new or different from currently certified services.
8. The request must not be for a program regulated by another agency (e.g., DOH, DEA, OMH).

In addition to the applicant meeting with the LGU and RO for a prior consult (see Attachment 1A), and if the proposed relocation qualifies as a "Minor Relocation", the applicant must ensure that the Appendix III – Minor Relocation form is completed, signed by all required parties and included with the application submission. Refer to Figure 1 to determine which components are required to be submitted for a "Minor Relocation". If the applicant does not submit a completed Appendix III with the application, the Certification Bureau will process the application as a standard "Relocation". If the criteria for a "Minor Relocation" are not met, then a "Relocation" application must be submitted; refer to Figure 1 to determine which components are required to be submitted for a proposed "Relocation".

If the applicant does not acquire the sign-off of both the LGU and RO, the application is processed like all other certification applications.

Chemical Dependence Treatment Services Hospitals and Other Article 28 Facilities

Applicants subject to Article 28 of the New York State Public Health Law must utilize the Department of Health's (DOH) approval process as well as OASAS' to obtain approval to operate or to make changes to existing chemical dependence treatment services. The applications are reviewed concurrently, and the entity receives operating certificates from both DOH and OASAS.

For applications involving opioid treatment services, the applicant must also apply to the Substance Abuse and Mental Health Services Administration - Center for Substance Abuse Treatment (CSAT) and Drug Enforcement Administration (DEA) for approval to store opioid at the applicant's location.

Prevention Services Subject to OASAS Certification

Applicants seeking approval for prevention counseling services are directed to contact the OASAS Certification Bureau for appropriate application forms and instructions.